

# REGISTERING AS AN OFFEROR OR TRANSPORTER OF HAZARDOUS MATERIALS



## U.S. DEPARTMENT OF TRANSPORTATION

# Hazardous Materials Registration Program

### Instructions & Form DOT F 5800.2

### For Registration Year 2000 - 2001

### Revised Requirements Effective July 1, 2000

#### IMPORTANT CHANGES

The following changes apply for the 2000-2001 Registration Year, which begins on July 1, 2000:

- Registration is now required for each person that offers or transports **any shipment of hazardous materials that requires placarding** (with an exception for farmers offering or transporting hazardous materials in direct support of their farming activities). Registration is still required by each person (including a farmer) engaged in any of the five categories of activities that previously triggered the registration requirement. See page 2 for an explanation of the term "person," the activities that require registration, and the exceptions to the requirement.
- The annual registration fee is \$300 for each person meeting the Small Business Administration's criteria for a small business and \$2,000 for each person that does not meet those criteria. See page 4 for information on how to determine if you are a small business.
- You may now register for one, two, or three registration years by completing a single registration statement and paying the appropriate fees. The fees listed include a \$25 administrative fee for each filing. By submitting a form and payment for two or three years, you save on the administrative portion of the fee. A single Certificate of Registration with a Registration Number good for one, two, or three years will be issued for each statement.

You may register by using one of the following methods:

- Complete form DOT F 5800.2 (revised 3/00) and mail it with payment of the appropriate fee to the address given on the printed form.
- Register by telephone through the expedited procedures described on pages 7 - 8 of this brochure.
- Register through the Internet as explained on page 8 of this brochure.

#### INTRODUCTION: Background and Uses of the Fee

Under the federal hazardous material transportation law (49 U.S.C. 5101 *et seq.*), certain offerors and transporters of hazardous materials, including hazardous waste, are required to file a registration statement with the U.S. Department of Transportation and to pay an annual fee. This program began in 1992 and is administered by the Associate Administrator for Hazardous Materials Safety, Research and Special Programs Administration (RSPA). The registration regulations are found at 49 CFR 107.601-107.620.

The fee provides funds for grants distributed to states and Indian tribes for hazardous materials emergency response planning and training through the Hazardous Materials Emergency Preparedness Grants Program. For use in FY 2000, 50 states, the District of Columbia, five territories, and eight Indian tribes received grant awards totaling \$8.51 million. These grants support planning and training of emergency personnel to respond to incidents involving hazardous materials. Since 1993 the grants have been used to train, in part, approximately 120,000 emergency responders each year. In addition, \$750,000 in grants have been made to the International Association of Fire Fighters to support their hazardous materials instructor train-the-trainer program. The fees are also used to publish the *Emergency Response Guidebook*. **Your fee is helping communities prepare for a spill, accident or other hazardous materials emergency that may occur.**



U.S. Department  
of Transportation  
**Research and  
Special Programs  
Administration**

## WHO MUST REGISTER

If you are a person\* as defined by the federal hazardous material transportation law and engage in any of the activities requiring registration, you must register. See the discussion of person below for exceptions to the requirement.

\*Underlined words are defined on pages 2 - 4.

### Activities Requiring Registration:

A person who, between July 1 of a year and June 30 of the following year, engages in any of the following activities must register with RSPA for that twelve-month period.

1. Offers or transports in commerce a quantity of hazardous material that requires placarding. This category of activities requiring registration was added beginning with the 2000-2001 registration year. On the Registration Statement, this activity is identified as Category F. The offering and transporting of hazardous materials by farmers in direct support of their farming operations are excepted from this category of activities requiring registration. See the section "Requirements for Farmers" on page 3.
2. Offers or transports in commerce any of the following (Note: the letters identifying each of the following sections represents the "Category" of activity used on the Registration Statement):

A. A highway route controlled quantity of a Class 7 (radioactive) material, as defined in 49 CFR 173.403.

B. More than 25 kilograms (55 pounds) of a Division 1.1, 1.2, or 1.3 (explosive) material (see 49 CFR 173.50) in a motor vehicle, rail car, or freight container.

C. More than one liter (1.06 quarts) per package of a "material extremely toxic by inhalation" (that is, a "material poisonous by inhalation," as defined in 49 CFR 171.8, that meets the criteria for "hazard zone A" as specified in 49 CFR 173.116(a) for gases or 173.133(a) for liquids).

D. A hazardous material (including hazardous wastes) in a bulk packaging (see 49 CFR 171.8) having a capacity equal to or greater than 13,248 liters (3,500 gallons) for liquids or gases or more than 13.24 cubic meters (468

cubic feet) for solids (see definition of "Bulk Packaging" for further clarification). Please note that under this provision persons who offer or transport hazardous materials that do not require placarding (that is, Class 9 materials) in a bulk packaging with a capacity greater than 3,500 gallons or 468 cubic feet, must register.

- E. A shipment in other than a bulk packaging of 2,268 kilograms (5,000 pounds) gross weight or more of one class of hazardous materials (including hazardous wastes) for which placarding of a vehicle, rail car, or freight container is required for that class (see definition of "Bulk Packaging" for further clarification).

### Person:

A person is defined by federal hazardous material transportation law as including an individual, firm, copartnership, corporation, company, association, joint-stock association, including any trustee, receiver, assignee, or similar representative thereof, or government, Indian tribe, or agency or instrumentality of any government or Indian tribe when it offers hazardous materials for transportation in commerce or transports hazardous materials to further a commercial enterprise. However, the following are specifically excepted by statute or regulation from the registration requirements:

A. Agencies of the federal government.

B. Agencies of states.

C. Agencies of political subdivisions of states.

D. Employees of those agencies listed in [A], [B], or [C] with respect to their official duties.

E. Hazmat employees, including the owner-operator of a motor vehicle that transports hazardous materials in commerce if that vehicle, at the time of those activities, is leased to a registered motor carrier under a 30-day or longer lease as prescribed in 49 CFR Part 376 or an equivalent contractual relationship.

F. Persons domiciled outside the United States whose only activity involving the transportation of hazardous materials within the United States is to offer hazardous materials for transportation in commerce from locations outside the

United States, if the country in which they are domiciled does not impose registration or a fee upon U.S. companies for offering hazardous materials into that country. However, persons domiciled outside the United States who transport the types and quantities of hazardous materials that require registration within the United States must register.

- G. Farmers, as defined in 49 CFR 171.8, who offer or transport only hazardous materials that are used in direct support of their farming operations **and** who are not engaged in activities included in 49 CFR 107.601(a)(1) through (a)(5), that is, Categories A through E described in "Activities Requiring Registration" above. See "Requirements for Farmers" on page 3.

### Clarifications:

The registration requirement applies to all persons who (1) engage in interstate, intrastate, or foreign commerce; (2) engage in any of the activities discussed in "Activities Requiring Registration" above; and (3) are not specifically excepted from the requirement.

Each person who acts as an intermediary in the transportation of hazardous materials, such as a freight-forwarder or agent, is subject to the registration requirements if that person performs or contracts to perform any of the functions of an offeror of hazardous materials.

Each U.S. company engaged in a specified hazardous materials activity that is (1) incorporated separately from a parent company, (2) under the majority stock ownership of another company, or (3) a wholly-owned or controlled subsidiary of another company, is required to register even when the parent company is also subject to registration.

You must also register if you engage in any of the activities discussed in "Activities Requiring Registration" above, and are:

1. A merchant vessel carrier transporting, transiting, or transshipping hazardous materials within 12 miles of the U.S. coast;
2. A federal, state, or local government contractor.

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## Requirements for Farmers:

1. If you are a farmer who offers or transports only hazardous materials that (a) are to be used in direct support of your farming activities **and** (b) are not included in section 2 of “Activities Requiring Registration” above (that is, Categories A through E on the Registration Statement), you are not required to register.
2. If you are a farmer who offers or transports hazardous materials that require placarding that are **not** in direct support of your farming operation, you must register and pay the appropriate registration fee. For example, a farmer who offers or transports home heating fuel for commercial purposes in quantities requiring placarding must register.
3. If you are a farmer who offers or transports for any purpose any of the hazardous materials included in section 2 of “Activities Requiring Registration” above (Categories A through E on the Registration Statement), you must register and pay the appropriate registration fee. For example, if you transport 55 lbs or more of a Division 1.1 explosive, even if the explosive is to be used in direct support of your farming operations, you must register.

## DEFINITIONS

### Bulk Packaging:

A bulk packaging is a packaging, other than a vessel or a barge, with (1) a maximum capacity greater than 450 liters (119 gallons) as a receptacle for a liquid; (2) a maximum net mass greater than 400 kilograms (882 pounds) and a maximum capacity greater than 450 liters (119 gallons) as a receptacle for a solid; or (3) a water capacity greater than 454 kilograms (1000 pounds) as a receptacle for a gas (see 49 CFR 171.8).

The extension of the registration requirement to all placarded shipments will in most instances over-ride categories D and E, which define activities that require registration involving (1) any hazardous material in a bulk packaging with a capacity equal to or greater than 13,248 liters (3,500 gallons) for liquids and gases or more than 13.24 cubic meters (468 cubic feet) for solids (category D), or (2) any shipment in other than a bulk packaging of 2,268 kilograms (5,000 pounds) gross

weight or more of a class of hazardous materials for which placarding of a vehicle, rail car, or freight container is required (category E). Hazardous materials (particularly Class 9 hazardous wastes) that do **not** require placarding but **are** placed in bulk packagings with capacities greater than 3,500 gallons or 468 cubic feet require registration under category D. However, shipments of hazardous materials that do **not** require placarding (for example, Class 9 materials), placed in bulk packagings with capacities **less than** 3,500 gallons or 468 cubic feet, do **not** require registration.

It is still important to note that the use of bulk packagings with capacities equal to or greater than 13,248 liters (3,500 gallons) or more than 13.24 cubic meters (468 cubic feet) requires registration no matter how small the quantity of hazardous materials offered or transported. For example, persons who have hazardous waste picked up in tank trucks with such capacities, and persons who return unpurged tank trucks or rail tank cars from which they have unloaded hazardous materials so that the tanks still contain residues of hazardous materials when returned, must register under the provisions of Category D.

### Calendar Year:

Although the registration year extends from July 1 of a year through June 30 of the following year, a calendar year is used to report activity in item 7 of the registration statement, “Prior-Year Survey Information.” This calendar year is the twelve-month period (January 1 through December 31) immediately preceding the beginning date of the registration year (or years) for which you are filing the registration statement. You are asked to supply information on your activities in calendar year 1999 on the statement submitted for 2000-2001 (or 2000-2002, or 2000-2003). The use of the preceding calendar year in reporting activity provides a definite and verifiable (rather than speculative) basis for this section of the form.

### Employees, Number of:

See “Small Business” below.

### Farmer:

The term “farmer” means a person engaged in the production or raising of crops, poultry, or livestock (49 CFR 171.8).

## Gross Annual Receipts:

See “Small Business” below.

## Highway Route Controlled Quantity:

The criteria for determining whether a shipment of radioactive material is a “highway route controlled quantity” are found in 49 CFR 173.403, which further references 49 CFR 173.435. Please note that any shipment of a “highway route controlled quantity” of a radioactive material, whether by highway, rail, air, or water, subjects the offeror and carrier to the registration requirement.

If you think you are an offeror or carrier of highway route controlled quantities, please review the defining criteria carefully. Shipments of highway route controlled quantities must be specifically identified as such by the offeror on the shipping papers (see 49 CFR 172.203(d)(4)).

## Modes:

The four modes of transportation that are covered under the Hazardous Materials Regulations, including the registration requirement, are highway, rail, air, and water. For purposes of registration, highway transportation includes all interstate, intrastate, and foreign shipments that meet the registration criteria and are not specifically excepted by regulation. Water transportation does not include hazardous materials loaded or carried on board a vessel without benefit of containers or labels. This type of shipment, for which the vessel becomes the container, such as LNG or oil tanker vessels, falls under the authority of the U.S. Coast Guard. See the delegation of authority at 49 CFR 1.46(t).

## Offeror:

An offeror is a person who ships hazardous materials in commerce, or a person who acts as an intermediary in the transportation of hazardous materials (such as a freight-forwarder or agent) if the intermediary performs any of the functions of an offeror of hazardous materials. Functions of an offeror, besides shipping, include, but are not limited to: selecting the packaging for a regulated hazardous material, physically transferring a hazardous material to a carrier, determining the hazard class of a hazardous material, preparing shipping papers, reviewing shipping papers to verify compliance with the hazardous materials regulations or their international

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equivalents, signing hazardous materials certifications on shipping papers, placing hazardous materials markings or placards on vehicles or packages, and providing placards to a carrier.

A formal interpretation of the terms “offeror” and “transporter” as related to the registration requirements was published in the Federal Register on October 28, 1992, pages 48739-48741.

Further clarification of the term “offeror” was supplied in the Final Rule published in the Federal Register on February 14, 2000, page 7304. In item 7 of the registration statement, you are asked to indicate whether you operated as a “Shipper,” “Carrier,” or “Other” during the calendar year preceding the beginning of the registration year. Persons who act as intermediaries should mark “Other” (marking “Shipper” or “Carrier” as well if appropriate).

## Shipment:

The term “shipment” as used in the registration regulations means the offering or loading of hazardous material at one loading facility using one transport vehicle, or the transport of that transport vehicle (see 49 CFR 107.601(c)).

## Small Business:

A company is a “small business” if it meets the criterion established by the U.S. Small Business Administration (SBA) in 13 CFR 121 for the Standard Industrial Classification (SIC) code that describes the primary commercial activity of the company. A complete list of SBA criteria by SIC code can be found at the SBA Internet site at <http://www.sbaonline.sba.gov/regulations/siccodes/>. Or call the SBA Office of Advocacy at 202-205-6533 for assistance. A link to the SBA site is provided at the Registration Internet page. A list of the SIC codes and size criteria for some common hazardous materials industry groups is given on page 12. With a few exceptions, the criterion is either the number of employees or the gross annual receipts. The number of employees is defined by SBA as being the average number of employees (including all individuals employed on a full-time, part-time, temporary, or other basis) employed during the pay periods in the preceding twelve months. See 13 CFR 121.106 for the applicable SBA definition. “Gross annual receipts” is defined by SBA at 13 CFR 121.104. “Receipts” means “total

income” (or in the case of a sole proprietorship, “gross income”) plus the “cost of goods sold” as these terms are defined or reported on Internal Revenue Service (IRS) federal tax returns. The term, however, excludes net capital gains or losses, taxes collected for and remitted to a taxing authority if included in gross or total income, and proceeds from the transactions between a concern and its domestic or foreign affiliates (if also excluded from gross or total income on a consolidated return filed with the IRS). If your company has been in business for three or more years, the “annual receipts” is the receipts over its last three completed fiscal years divided by three. For companies in existence less than three years, the “annual receipts” is calculated by taking the receipts for the period the company has been in business divided by the number of weeks in business, multiplied by 52. Whether annual receipts or number of employees is the criterion established for your SIC code, you should look at the receipts or number of employees for the “person” required to register. The “person” required to register may be smaller than the “entity” (including affiliates) the SBA considers in applying its criteria for its internal purposes.

## Standard Industrial Classification (SIC):

The SBA criteria for “small business” are established for each standard industrial classification (SIC) code. If a company engages in more than one business activity (industry), the SIC code for the primary industry is the one that should be used. To determine a company's primary industry, the SBA considers the distribution of receipts, employees and costs of doing business among the different industries in which business operations occurred for the most recently completed fiscal year. Companies unsure of their SIC codes may refer to the U.S. Occupational Safety and Health Administration's search engine for detailed descriptions of the businesses included in each classification. The search engine is at <http://www.osha.gov/oshstats/sicser.html>. A link to this site is provided at the Registration Internet page.

## Transportation:

Transportation means the movement of property and any loading, unloading, or storage incidental to the movement (49 U.S.C. 5102 (12)).

## REGISTRATION DEADLINE

The completed 2000-2001 registration statement and payment must be submitted before July 1, 2000, or before engaging in any of the activities requiring registration, whichever is later. We suggest that you submit your registration at least four weeks in advance of the date you will need the registration certificate in order to allow sufficient time for the registration to be processed and the certificate produced and mailed to you. If you need to obtain a registration number immediately, see the instructions for “Expedited Registration” on pages 7-8 or for “Registering through the Internet” on page 8.

## RECORDKEEPING REQUIREMENTS

Copies of the registration statement and the certificate of registration must be kept for three years at your principal place of business and must be available for inspection. Motor carriers and vessel operators must also have on board a copy of the current certificate of registration, or another document bearing the current year's registration number identified as the “U.S. DOT Hazmat Reg. No.” Every truck or truck tractor or vessel you use for the transportation of hazardous materials that meets the registration criteria must have this proof of registration on board.

## STATE REGISTRATIONS

Some states have hazardous materials registration or permitting programs that may also apply to you. Registration with RSPA does not replace state requirements.

## USE THE PROPER REGISTRATION STATEMENT

You must use the Registration Statement, Form DOT F 5800.2 (Revised 3/00), supplied in this brochure, to register after May 1, 2000, no matter which year or years you are registering for. Statements submitted on versions of the form dated earlier than 3/00 will be returned unprocessed and will therefore delay your registration.

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## PENALTIES FOR FAILURE TO REGISTER

The requirement to register with DOT is based on a federal law. The enforcement of this requirement is conducted cooperatively by federal, state, and local agencies. Federal, state, or local officials may impose penalties for failing to register or failing to meet the recordkeeping requirements.

## REGISTERING AS A NON-RESIDENT

If you are not a resident of the United States, you must designate a permanent U.S. resident to serve as "agent for service of process" in accordance with 49 CFR 107.7. The name and address of your agent must be attached to the statement.

## SOURCES OF INFORMATION

### For Copies of this Brochure and Registration Forms:

- Download copies from the RSPA Registration Internet Home Page at <http://hazmat.dot.gov/register.htm>.
- Dial RSPA's automated Fax-on-Demand service at 1-800-467-4922. Press "2" and follow the instructions to request document number 700.
- E-mail your request to [REGISTER@rspa.dot.gov](mailto:REGISTER@rspa.dot.gov).
- Call 617-494-2545 or 202-366-4109.

### For Questions on the Registration Program Requirements:

- Call the Registration Program office at 202-366-4109.
- E-mail questions to [REGISTER@rspa.dot.gov](mailto:REGISTER@rspa.dot.gov).

### For Questions About the Hazardous Materials Regulations:

- Call the Hazardous Materials Information Center at 1-800-467-4922.

### For Questions About the SBA Size Criteria:

- See the complete listing of SIC codes and size criteria at <http://www.sbaonline.sba.gov/regulations/siccodes/>.
- Call the SBA Office of Advocacy at 202-205-6533.

### For Information on the HMEP Grants Program

- Visit the HMEP Grants Internet site at <http://hazmat.dot.gov/hmep.htm>.
- Call the Grants Program office at 202-366-0001.

### For the Status of your Registration Submission:

- Call 617-494-2545.

### For Expedited Registration:

- Call 1-800-942-6990.

### Registering through the Internet:

- Register through the Internet at <http://hazmat.dot.gov/register.htm> as explained on page 8 of this brochure.

### For Copies of the Hazardous Materials Program Regulations:

- Contact the Superintendent of Documents, Government Printing Office, Washington, DC 20402; telephone 202-512-1800. Ask for Title 49 of the Code of Federal Regulations, Parts 100 to 185.
- Access the Code of Federal Regulations through the Internet at <http://www.access.gpo.gov/nara/cfr> or <http://hazmat.dot.gov/rules.htm>.

### To Obtain a U.S. DOT ID Number:

- Call the Federal Motor Carrier Safety Administration's Office of Motor Carriers Information Line at 1-800-832-5660.

## IF YOU HAVE FAILED TO REGISTER FOR PAST YEARS . . .

If you engaged in any of the hazardous materials activities described in 49 CFR 107.601(a)(1) through (a)(5), that is, those listed on the statement as categories A through E, in registration years before 2000-2001, but did not register, you must do so now. There have been eight prior registration years:

**1992-93** (September 16, 1992, to June 30, 1993);

**1993-94** (July 1, 1993, to June 30, 1994);

**1994-95** (July 1, 1994, to June 30, 1995);

**1995-96** (July 1, 1995, to June 30, 1996);

**1996-97** (July 1, 1996, to June 30, 1997);

**1997-98** (July 1, 1997, to June 30, 1998);

**1998-99** (July 1, 1998, to June 30, 1999); and

**1999-2000** (July 1, 1999, to June 30, 2000).

You must file a registration statement and pay \$300 for each year you did not register. For these prior years the fee amount is not determined by the SBA size criteria. You may copy and use the form supplied in this booklet to register for each previous year.

Complete the "Activities" and "States" sections of item 7 of the registration statement to reflect the type of activities you conducted and the states in which you conducted them during the calendar year preceding the beginning of the registration year for which the statement is being filed.

For example, if you are filing for the 1999-2000 registration year, report the activities you engaged in, and the states in which you offered or transported hazardous materials, between January 1 and December 31, 1998.

## For Information about Hazardous Materials Safety:

- The Office of Hazardous Materials Safety's Internet homepage contains extensive information on the transportation of hazardous materials. Please visit our site at <http://hazmat.dot.gov>.

# REGISTRATION INSTRUCTIONS FOR OFFERORS AND TRANSPORTERS OF HAZMAT

Beginning with the 2000-2001 registration year, you may register for one, two, or three years through a single registration statement and the payment of the appropriate fees. You may register for the 2000-2001 registration year (July 1, 2000, through June 30, 2001), OR for the 2000-2001 and 2001-2002 registration years (July 1, 2000, through June 30, 2002), OR for the 2000-2001, 2001-2002, and the 2002-2003 registration years (July 1, 2000, through June 30, 2003). You may complete a registration statement (DOT Form F 5800.2 Revised 03/00), and send the statement with payment to the U.S. Department of Transportation at the address shown on the back of the form, or you may register through the Internet by following the directions on page 8.

Register before July 1, 2000, or before engaging in any of the activities requiring registration,\* whichever is later. You must have the DOT certificate and registration number before you offer or transport hazardous materials. Allow four weeks after mailing your completed registration statement and payment to receive your certificate. You will receive a new registration number for each properly completed registration statement you submit.

The instructions for completing the registration statement form begin on this page and continue on page 7. You may find it useful to read through the instructions and the statement before completing it. These instructions may be useful in submitting your registration through the Internet, though the sequence of the required information is altered on the Internet registration page. Please fill in the top block before starting item 1.

\*Underlined words are defined on pages 2 - 4.

## TOP BLOCK

- Fill in the appropriate registration year or years. You may enter "2000-2001" (for one year), "2000-2002" (for two years) or "2000-2003" (for three years).
- Check the kind of registration you are making:

**Initial Registration** means you are registering for the first time. Since you have no registration number yet, leave the space for "Current Registration #" blank.

**Renewal of Registration** means you have registered in one or more previous years; please enter the most recently issued registration number you have been given as the "Current Registration #."

**Amendment to Registration** means you are updating information currently on file (which you must do if your name or principal place of business changes during the year). If you need instructions only for making this kind of change, skip to the box below.

### AMENDING YOUR REGISTRATION

You must amend your registration statement within 30 days if there is a change in your company's name or principal place of business. You may submit an amendment through the registration Internet page at:

<http://hazmat.dot.gov/register.htm>

or by following these directions:

Check "Amendment to Registration" on the top block of the registration statement, enter the "Current Registration #," record the new

**Expedited Follow-up** means you already made an expedited registration by phone and are providing follow-up data to that transaction. Enter the temporary registration number you received over the phone as the "Current Registration #." **If you check Expedited Follow-up, please turn to page 8 for special instructions on completing this form.**

## IDENTIFYING INFORMATION

- 1 and 2. Enter your business name and address. This is the address to which the certificate of registration and any necessary correspondence will be mailed. If we have provided you with a pre-printed label and no corrections are necessary, you may use that label to supply this information.
3. If you have any of these ID numbers, enter them. Carriers who do not currently have an ID number and shippers may leave this space blank. (To verify your U.S. DOT ID number, call the Office of Motor Carriers Information Line at 1-800-832-5660.)

name or address in items 1 and 2, and complete and sign item 8, CERTIFICATION OF INFORMATION. You need not fill in any other sections.

Attach a copy of the original certificate of registration to the amended form. Send the amendment to the Atlanta, Georgia, address printed on the form.

There is no additional fee for filing an amendment whether done by mail or through the Internet.

4. Check all the ways you moved hazardous materials during the calendar year ending last December. If you are a carrier, mark only the mode(s) you used to transport hazardous materials. If you are a shipper or other offeror, check all modes used to transport shipments offered by your company.

5. Enter the four-digit Standard Industrial Classification (SIC) code that best describes the primary business activity of your company. See the definition on page 4 for further help.

Indicate whether your company meets the U.S. Small Business Administration's criteria for a small business. See the definition and the resources for help given on page 4. Apply the specified criterion (either the number of employees or the gross annual receipts) to the registering person.

## REGISTRATION FEES AND PAYMENT INFORMATION

6. If your company meets the SBA criteria for a small business, the fee is \$300 for one year, \$575 for two years, or \$850 for three years.

If your company does not meet the SBA criteria for a small business, the fee is \$2,000 for one year, \$3,975 for two years, or \$5,950 for three years.

If your company is not a small business and is submitting an Expedited Follow-up, the remaining fee is \$1,700.

## REGISTRATION INSTRUCTIONS CONTINUED:

If you are registering for a year prior to 2000-2001, the fee is \$300 whether or not your company meets the SBA's criteria for a small business.

Either:

- a. Enclose a check or money order, identified as Hazmat Registration Fee, and drawn on a U.S. bank in U.S. funds, payable to "U.S. Department of Transportation" OR
- b. Pay by VISA, MasterCard, American Express, or Discover by completing the credit card payment block on the form.

Registration and full fee payment are required of any person engaging in any of the specified activities at any time during the registration year. The fee is not prorated for registrations submitted after July 1.

### HAZARDOUS MATERIALS ACTIVITIES

7. Use this part of the form to record your hazardous materials activities during the calendar year ending last December 31. Even if you engaged in none of the hazardous materials activities described here last year, but you intend to do so this year, you must register and pay the appropriate fee (mark category G).

Item 7 defines six categories of materials subject to registration. Mark each category that your company engaged in during the last completed calendar year. Shipments of materials included in Categories A, B, C, D, or E should not also be included in Category F, even though in most instances such shipments require placarding. For instance, if your only hazardous materials activity is carrying more than 55 lbs. of Division 1.1 explosives, you should mark only Category B - not B and F. If, however, your only activity is shipping hazardous materials in quantities that require placarding that are not included in Categories A through E, mark Category F. If you carry both shipments of more than 55 lbs. of Division 1.1 explosives and shipments of hazardous materials not included in Categories A through E, not in bulk packagings, of more than 1,000 lbs. but less than 5,000 lbs., you would mark both Categories B and F. If you are registering for a year prior to 2000-2001, you should not mark Category F even if you

engaged in that activity during the applicable preceding calendar year. Activity in Category F requires registration only beginning in Registration Year 2000-2001.

For each of the categories A, B, C, D, E, or F, that you marked, also tell us - for each one:

- (1) Activities: Whether you handled the hazardous materials as a shipper, carrier, or "other." Check as many as apply. "Other" refers to activities other than those of the "shipper" or "carrier" in which any of the functions of an offeror or carrier are performed. See the definition of "Offeror" on pages 3 - 4.
- (2) States: Which states you operated in with respect to this hazardous material. Circle the abbreviation for each state or territory in which you did business in hazardous materials. If you checked "carrier," circle all states in which you operated as a carrier of that category of hazardous material. If you checked "shipper" or "other," circle only those states from which you offered hazardous materials - you need not indicate states to which or through which the materials were transported. Registrants operating in all of the "lower 48" states may circle "48 Contiguous States." (This excludes Alaska, Hawaii, the District of Columbia, and our five territories, which must be circled individually, if appropriate.) A list of the states and territories and their abbreviations is provided on page 11.

Remember, if you did not engage last year in any of the activities described in categories A through F, check category G.

### CERTIFICATION OF INFORMATION

8. Your signature in item 8 certifies that the information on this form is true, accurate, and complete. BE ADVISED that false statements may violate the law (18 U.S.C. 1001). Complete this part with the signer's name, title, and telephone number and the date the certification is signed. The individual who signs this certification should be an appropriate representative of the registrant. Correspondence regarding registration, including the certificate of registration and next year's form and instructions, will be addressed to this individual.

### MAILING INSTRUCTIONS

Mail your completed registration form (one copy) and payment together to this address in Atlanta:

**U.S. Department of Transportation  
Hazardous Materials Registration  
P.O. Box 740188  
Atlanta, GA 30374-0188**

**Do not** send them to Washington, D.C. Be sure to mail form and payment **together**.

Be careful to use a mail service that delivers to P.O. Box addresses. (The Atlanta address is a post office box and many services cannot deliver to P.O. Boxes.)

Allow four weeks to receive your certificate of registration.

### EXPEDITED REGISTRATION

If you need to register more quickly than the normal procedures provide, you may do so by telephone with credit card payment of an initial \$350 fee, which includes an additional \$50 expedited registration fee. For registrants that meet the SBA criteria for a small business, this \$350 fee will be accepted as full payment of a single-year registration. For registrants that do not meet the SBA criteria for a small business, payment of an additional \$1,700 must be made as part of the follow-up procedures (for a full payment of \$2,050, which includes a \$50 expedited registration fee). You may register only for a single year through the expedited procedures. You will be provided with a temporary registration number, which can be used for 45 days to prove compliance with the registration requirement. To obtain a registration number promptly, you may also register over the Internet (see page 8). No additional processing fee is required for registration over the Internet.

To register by telephone, please do the following:

1. Call (800) 942-6990 or (617) 494-2545 for service 24 hours a day, 7 days a week. Be ready to provide your company name, the mailing address of the principal place of business, and valid VISA, Mastercard, American Express, or Discover information. Your credit card account will be billed for \$350 and payment will be confirmed while you are on the phone.



2. A DOT registration specialist will provide a temporary registration number over the phone, which is good for proving compliance for 45 days from the date of your call. DOT will mail a temporary registration letter that serves as proof of payment of the fee, along with a copy of the registration statement for you to complete. You must complete the statement and return it to the address given in the letter within 10 days of receiving the registration package. Follow the special instructions for "Expedited Follow-Up" below and given in the letter. If your company meets the SBA criteria for a small business, do not resubmit credit card information or send another payment. If your company does not meet the SBA criteria for a small business, you must either submit credit card information or enclose a check or money order for \$1,700 to complete the payment of the appropriate fee.
3. A certificate of registration with the current registration number will be sent to you. Use this number to replace the temporary number given to you over the phone.

Because the expedited procedures allow only single-year registrations, and involve the later payment of the remaining \$1,700 fee if your company does not meet the SBA criteria for a small business, we suggest that registration through the Internet may be a more convenient means of obtaining a registration number immediately.

## REGISTERING THROUGH THE INTERNET

You may register over the Internet at <http://hazmat.dot.gov/register.htm>. Follow the link to Registering Through the Internet, and read the instructions about using the hazardous materials e-commerce services. Your browser must support 128-bit encryption to complete payment transactions over the Internet. A means to check your current browser is provided for your convenience. If you need to update your browser to one that supports 128-bit encryption, links to sites from which one can be downloaded are provided on that page. Once you have verified that your browser will allow you to complete the transaction, proceed to the hazardous materials e-commerce page and select "Registration Application." On the Internet registration page, if you have previously registered, you can search for your company's existing registration records by a previous registration number or the company name, or from a list of companies with the zip code in which your principal place of business is located. Searches by previous registration numbers are recommended. Having located your company record, you will have an opportunity to update any company information, and to complete the statement. If you are a first-time registrant, you must fill in the company information on the Registration

Statement. You can register for one, two, or three years, beginning with the 2000-2001 registration year. You may make the appropriate payment by Visa, MasterCard, American Express, or Discover. The completed Statement may be printed out to be retained at your principal place of business to fulfill part of the recordkeeping requirements. At the end of the process, after the payment has been verified, you will be able to print your Certificate of Registration with the new registration number. We will mail you a copy of the Certificate to make sure that you have a copy, but we recommend that you print it out from the Internet page as well. There is no additional charge for registering over the Internet, and we recommend this process, especially if you are in immediate need of a registration number. The instructions and discussions in this brochure apply to registering through the Internet, though the order in which some of the information is collected may vary.

You may also submit an amendment to your current registration through the Internet. By searching for your company's records you may also use this service to check on your company's history of registrations and check for current and past registration numbers. There are no charges for looking up your company's records or for submitting an amendment.

## Expedited Follow-Up

### SPECIAL INSTRUCTIONS FOR COMPLETING EXPEDITED REGISTRATION

[For Those Who Have Made Expedited Registration By Phone And Have Paid The \$350 Initial Expedited Registration Fee]

FOLLOW THESE INSTRUCTIONS CAREFULLY TO AVOID DELAY

1. Check "Expedited Follow-up" in the top block and enter your temporary registration number in the space for "Current Registration #."
2. Complete items 1 through 8. In item 6 enter "0" for the "Total Amount Enclosed" if your company meets the SBA criteria for a small business, or "\$1,700" if your company does not meet the SBA criteria for a small business. If the "Total Amount Enclosed" is \$0, do not resubmit credit card information.
3. Send the completed statement and any necessary payment to DOT at the address in Cambridge, MA, given in the temporary registration letter.
4. Include a copy of the temporary registration letter with this submission as proof of payment of the initial \$350 fee.

DOT will mail a certificate of registration with your current registration number for the year as confirmation that your registration process is complete. Use this number to replace the temporary number for all subsequent purposes.

You must respond within 10 days of receipt of the temporary registration letter.



## ***TWO LETTER STATE ABBREVIATIONS***

Alabama .....	AL	Kentucky .....	KY	Ohio .....	OH
Alaska .....	AK	Louisiana .....	LA	Oklahoma .....	OK
American Samoa .....	AS	Maine .....	ME	Oregon .....	OR
Arizona .....	AZ	Maryland .....	MD	Pennsylvania .....	PA
Arkansas .....	AR	Massachusetts .....	MA	Puerto Rico .....	PR
California .....	CA	Michigan .....	MI	Rhode Island .....	RI
Colorado .....	CO	Minnesota .....	MN	South Carolina .....	SC
Connecticut .....	CT	Mississippi .....	MS	South Dakota .....	SD
Delaware .....	DE	Missouri .....	MO	Tennessee .....	TN
Dist. Columbia .....	DC	Montana .....	MT	Texas .....	TX
Florida .....	FL	Nebraska .....	NE	Utah .....	UT
Georgia .....	GA	Nevada .....	NV	Vermont .....	VT
Guam .....	GU	New Hampshire .....	NH	Virgin Islands .....	VI
Hawaii .....	HI	New Jersey .....	NJ	Virginia .....	VA
Idaho .....	ID	New Mexico .....	NM	Washington .....	WA
Illinois .....	IL	New York .....	NY	West Virginia .....	WV
Indiana .....	IN	North Carolina .....	NC	Wisconsin .....	WI
Iowa .....	IA	North Dakota .....	ND	Wyoming .....	WY
Kansas .....	KS	N. Mariana Is. ....	MP		

### **REGISTRATION PHONE NUMBERS**

#### **HAZARDOUS MATERIALS REGISTRATION PROGRAM**

Form and Instructions .....	(617) 494-2545
Automated Fax-on-Demand service for	
brochure and form (request document 700) .....	(800) 467-4922
Four Weeks and No Certificate? .....	(617) 494-2545
Registration Information and Answers .....	(202) 366-4109
General Hazardous Materials Information -	
Hazardous Materials Information Center .....	(800) 467-4922
Expedited Registration .....	(800) 942-6990
Verify U.S. DOT ID Number (FMCSA/OMC) .....	(800) 832-5660
SBA Size and SIC Code Questions (SBA) .....	(202) 205-6533
Copy of Relevant Regulations (49 CFR Parts 100 to 185) .....	(202) 512-1800

# Selected Small Business Administration Size Standards by SIC Industry

NOTE: If the four-digit code for your primary industry group does not appear below, check the SBA Internet site at <http://www.sbaonline.sba.gov/regulations/siccodes/> for the complete listing of codes and size criteria.

SIC	Description	Size Standards in Number of Employees or Millions of Dollars
<b>Division A - AGRICULTURE, FORESTRY AND FISHING</b> (Major Groups 01- 09)		
<b>Division B - MINING</b> (Major Groups 10 -14)		
<b>Division C - CONSTRUCTION</b> (Major Groups 15 -17)		
<b>Division D - MANUFACTURING</b> (Major Groups 20 - 39)		
<b>Major Group 28 - CHEMICALS AND ALLIED PRODUCTS</b>		
<b>Major Group 29 - PETROLEUM REFINING AND RELATED INDUSTRIES</b>		
2911	Petroleum Refining	1,500
2992	Lubricating Oils and Greases	500
<b>Division E - TRANSPORTATION, COMMUNICATIONS ELECTRIC, GAS, AND SANITARY SERVICES</b> (Major Groups 40 - 49)		
<b>Major Group 40 - RAILROAD TRANSPORTATION</b>		
4011	Railroads, Line-Haul Operating	1,500
4013	Railroad Switching and Terminal Establishments	500
<b>Major Group 42 - MOTOR FREIGHT TRANSPORTATION AND WAREHOUSING</b>		
4212	Local Trucking Without Storage	\$18.5
	EXCEPT Garbage and Refuse Collection, Without Disposal	\$6.0
4213	Trucking, Except Local	\$18.5
4214	Local Trucking With Storage	\$18.5
4225	General Warehousing and Storage	\$18.5
4226	Special Warehousing and Storage, N.E.C.*	\$18.5
<b>Major Group 47 - TRANSPORTATION SERVICES</b>		
4731	Arrangement of Transportation of Freight and Cargo	\$18.5
<b>Major Group 49 - ELECTRIC, GAS, AND SANITARY SERVICES</b>		
4953	Refuse Systems (includes hazardous waste disposal sites)	\$6.0
<b>Division F - WHOLESALE TRADE</b> (Major Groups 50 - 51)		
<b>Major Group 51 - WHOLESALE TRADE - NONDURABLE GOODS</b>		
5169	Chemical and Allied Products, N.E.C.*	100
5171	Petroleum Bulk Stations and Terminals	100
5172	Petroleum and Petroleum Products Wholesalers, except Bulk Stations and Terminals	100
5191	Farm Supplies	100
<b>Division G - RETAIL TRADE</b> (Major Groups 52 -59)		
<b>Major Group 54 - FOOD STORES</b>		
5411	Grocery Stores	\$20.0
<b>Major Group 55 - AUTOMOTIVE DEALERS AND GASOLINE SERVICE STATIONS</b>		
5541	Gasoline Service Stations	\$6.5
<b>Major Group 59 - MISCELLANEOUS RETAIL</b>		
5983	Fuel Oil Dealers	\$9.0
5984	Liquefied Petroleum Gas (Bottled Gas) Dealers	\$5.0
5989	Fuel Dealers, N.E.C.*	\$5.0
<b>Division H - FINANCE, INSURANCE, AND REAL ESTATE</b> (Major Groups 60 - 67)		
<b>Division I - Services</b> (Major Groups 70 - 87)		
<b>Major Group 72 - PERSONAL SERVICES</b>		
7215	Coin-Operated Laundries and Drycleaning	\$5.0
7216	Drycleaning Plants, Except Rug Cleaning	\$3.5
<b>Major Group 73 - BUSINESS SERVICES</b>		
7342	Disinfecting and Pest Control Services	\$5.0
<b>Major Group 75 - AUTOMOTIVE REPAIR SERVICES AND PARKING</b>		
7538	General Automotive Repair Shops	\$5.0
<b>Major Group 80 - HEALTH SERVICES</b>		
8062	General Medical and Surgical Hospitals	\$5.0
8071	Medical Laboratories	\$5.0
<b>Major Group 82 - EDUCATIONAL SERVICES</b> - Public schools excepted by 49 CFR 107.606(a)		
8211	Elementary and Secondary Schools	\$5.0
8221	Colleges, Universities, and Professional Schools	\$5.0
8222	Junior Colleges and Technical Institutes	\$5.0
<b>Division K - NONCLASSIFIABLE ESTABLISHMENTS</b>		
9999	Nonclassifiable Establishments	\$5.0

\* N.E.C., Not Elsewhere Classified